



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
WWW.USPTO.GOV

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/857,286	06/01/2001	1755	860	A34322- PCT-U	3	20	2

CONFIRMATION NO. 9694

FILING RECEIPT



OC00000006349922

Marta E Delsignore
Baker Botts
30 Rockefeller Plaza
New York, NY 10012-0228

Date Mailed: 07/26/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Poopathy Kathirgamanathan, Middlesex, UNITED KINGDOM;

Domestic Priority data as claimed by applicant

THIS APPLICATION IS A 371 OF PCT/GB99/04028 12/01/1999

Foreign Applications

UNITED KINGDOM 9826407.0 12/02/1998

Projected Publication Date: N/A

Non-Publication Request: No

Early Publication Request: No

Title

Electroluminescent materials

Preliminary Class

252

PCT/GB99/04028

01 JUL 2001 11:50

TO

Data entry by : ORDENEZ, MARTA

Team : OIPE

Date: 07/26/2001

~~_____~~

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

PLEASE NOTE the following information about the Filing Receipt:

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 500 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents
Office of Initial Patent Examination
Customer Service Center
Washington, DC 20231

PCT

WORLD INTELLECTUAL PROPERTY ORGANIZATION
International Bureau



INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

<p>(51) International Patent Classification ⁷ : C09K 11/06, H05B 33/14, C07F 9/535</p>	<p>A1</p>	<p>(11) International Publication Number: WO 00/32718 (43) International Publication Date: 8 June 2000 (08.06.00)</p>
<p>(21) International Application Number: PCT/GB99/04028 (22) International Filing Date: 1 December 1999 (01.12.99) (30) Priority Data: 9826407.0 2 December 1998 (02.12.98) GB (71) Applicant (<i>for all designated States except US</i>): SOUTH BANK UNIVERSITY ENTERPRISES LTD [GB/GB]; 103 Borough Road, London SE1 0AA (GB). (72) Inventor; and (75) Inventor/Applicant (<i>for US only</i>): KATHIRGAMANATHAN, Poopathy [GB/GB]; 14 Sandhurst Avenue, North Harrow, Middlesex HA2 7AP (GB). (74) Agent: COHEN, Alan, Nicol; 2 Grove Place, Tatsfield, Westerham, Kent TN16 2BB (GB).</p>		<p>(81) Designated States: AE, AL, AM, AT, AU, AZ, BA, BB, BG, BR, BY, CA, CH, CN, CU, CZ, DE, DK, EE, ES, FI, GB, GD, GE, GH, GM, HR, HU, ID, IL, IN, IS, JP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MD, MG, MK, MN, MW, MX, NO, NZ, PL, PT, RO, RU, SD, SE, SG, SI, SK, SL, TJ, TM, TR, TT, UA, UG, US, UZ, VN, YU, ZA, ZW, ARIPO patent (GH, GM, KE, LS, MW, SD, SL, SZ, TZ, UG, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, CH, CY, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GW, ML, MR, NE, SN, TD, TG).</p> <p>Published <i>With international search report.</i></p>
<p>(54) Title: ELECTROLUMINESCENT MATERIALS</p> <p>(57) Abstract</p> <p>Tb(TMHD)₃OPNP where TMHD is 2,2,6,6-tetramethyl-3,5-heptanedionato and OPNP is diphenylphosphonimide triphenyl phosphorane is an electroluminescent material which emits white light at an applied voltage of above 12 volts.</p>		

FOR THE PURPOSES OF INFORMATION ONLY

Codes used to identify States party to the PCT on the front pages of pamphlets publishing international applications under the PCT.

AL	Albania	ES	Spain	LS	Lesotho	SI	Slovenia
AM	Armenia	FI	Finland	LT	Lithuania	SK	Slovakia
AT	Austria	FR	France	LU	Luxembourg	SN	Senegal
AU	Australia	GA	Gabon	LV	Latvia	SZ	Swaziland
AZ	Azerbaijan	GB	United Kingdom	MC	Monaco	TD	Chad
BA	Bosnia and Herzegovina	GE	Georgia	MD	Republic of Moldova	TG	Togo
BB	Barbados	GH	Ghana	MG	Madagascar	TJ	Tajikistan
BE	Belgium	GN	Guinea	MK	The former Yugoslav Republic of Macedonia	TM	Turkmenistan
BF	Burkina Faso	GR	Greece			TR	Turkey
BG	Bulgaria	HU	Hungary	ML	Mali	TT	Trinidad and Tobago
BJ	Benin	IE	Ireland	MN	Mongolia	UA	Ukraine
BR	Brazil	IL	Israel	MR	Mauritania	UG	Uganda
BY	Belarus	IS	Iceland	MW	Malawi	US	United States of America
CA	Canada	IT	Italy	MX	Mexico	UZ	Uzbekistan
CF	Central African Republic	JP	Japan	NE	Niger	VN	Viet Nam
CG	Congo	KE	Kenya	NL	Netherlands	YU	Yugoslavia
CH	Switzerland	KG	Kyrgyzstan	NO	Norway	ZW	Zimbabwe
CI	Côte d'Ivoire	KP	Democratic People's Republic of Korea	NZ	New Zealand		
CM	Cameroon			PL	Poland		
CN	China	KR	Republic of Korea	PT	Portugal		
CU	Cuba	KZ	Kazakhstan	RO	Romania		
CZ	Czech Republic	LC	Saint Lucia	RU	Russian Federation		
DE	Germany	LI	Liechtenstein	SD	Sudan		
DK	Denmark	LK	Sri Lanka	SR	Sweden		
EE	Estonia	LR	Liberia	SG	Singapore		

Electroluminescent Materials

5 The present invention relates to electroluminescent materials and to devices incorporating them.

Materials, which emit light when an electric current is passed through them, are well known and used in a wide range of display applications. Liquid crystal devices and devices which are based on inorganic semiconductor systems are widely used,
10 however these suffer from the disadvantages of high energy consumption, high cost of manufacture, low quantum- efficiency and the inability to make flat panel displays, reflectance problems, i.e. low visibility in bright conditions and a narrow viewing angle e.g. +/- 45°

15 Organic polymers have been proposed as useful in electroluminescent devices, but it is not possible to obtain pure colours, they are expensive to make and have a relatively low efficiency.

Another compound, which has been proposed, is aluminium quinolate, but this
20 requires dopants to be used to obtain a range of colours and has a relatively low efficiency.

In an article in Chemistry letters pp 657-660, 1990 Kido et al disclosed that a terbium (III) acetyl acetate complex was green electroluminescent and in an article in
25 Applied Physics letters 65 (17) 24 October 1994 Kido et al disclosed that a europium (III) triphenylene diamine complexes was red electroluminescent but these were unstable in atmospheric conditions and difficult to produce as films.

- 2 -

The complexes disclosed in these articles had a relatively low photoluminescent efficiency and were only able to produce green or red light and other colours could not be produced.

- 5 Production of white light by electroluminescence is difficult to achieve and has required the use of a plurality of different electroluminescent materials either mixed or in sequential layers. Another method of modifying the colour of emitted light is by use of fluorescent dye or dyes mixed with the electroluminescent material or in sequential layers.

10

In an article by Takeo Wakimoto et al in Applied Surface Science 113/114(1997) pages 698-704 electroluminescent cells are disclosed in which aluminium quinolate is used as the emitter and which is doped by quinacrodine derivatives, which are fluorescent dyes, to change the colour of the emitted light.

15

We have now discovered electroluminescent compounds in which the emitted light can be varied by varying the applied voltage and which can emit white light.

- 20 According to the invention there is provided an electroluminescent device in which the electroluminescent compound is $\text{Tb(TMHD)}_3\text{OPNP}$.

Where TMHD is 2,2,6,6-tetramethyl-3,5-heptanedionato and OPNP is diphenylphosphonimide triphenyl phosphorane.

- 25 The colour of light is subjective and colours can be defined by co-ordinates on a two dimensional chart in which colours are areas on the chart and, in the present invention, as well as being observed to be white, white light can be defined as an area in the colour chart CIE I931.

The electroluminescent compound can be mixed with other transition metal, lanthanide or actinide organic complexes which may change the colour of the emitted light.

- 5 The electroluminescent device comprises a conductive substrate which acts as the anode, a layer of the electroluminescent material and a metal contact connected to the electroluminescent layer which acts as the cathode. When a current is passed through the electroluminescent layer the layer emits light.
- 10 The electroluminescent devices of the invention preferably comprise a transparent substrate which is a conductive glass or plastic material which acts as the anode, preferred substrates are conductive glasses such as indium tin oxide coated glass, but any glass which is conductive or has a conductive layer can be used. Conductive polymers and conductive polymer coated glass or plastics materials can also be used
- 15 as the substrate. The $\text{Tb(TMHD)}_3\text{OPNP}$ can be deposited on the substrate directly by evaporation from a solution in an organic solvent. The solvent which is used can be for example alcohols such as ethanol, ketones such as acetone and methyl acetylacetonate and chlorinated hydrocarbons such as dichloromethane.
- 20 Alternatively the material can be deposited by spin coating or by vacuum deposition from the solid state e.g. by sputtering or any other conventional method can be used.

- Preferably the $\text{Tb(TMHD)}_3\text{OPNP}$ film is made by mixing Tb(TMHD)_3 and OPNP, heating the mixture formed under a vacuum so that the mixture is vaporised and
- 25 condensing the vapour on to a substrate to form a film or layer of the organo-metallic complex on the substrate. Alternatively the Tb(TMHD)_3 and the OPNP can be deposited sequentially on to the substrate.

- In one embodiment of the invention there is a hole transporting layer deposited on the
- 30 transparent substrate and the $\text{Tb(TMHD)}_3\text{OPNP}$ is deposited on the hole transporting

layer. The hole transporting layer serves to transport; holes and to block the electrons, thus preventing electrons from moving into the electrode without recombining with holes. The recombination of carriers therefore mainly takes place in the emitter layer.

- 5 Hole transporting layers are used in polymer electroluminescent devices and any of the known hole transporting materials in film form can be used.

The hole transporting layer can be made of a film of an aromatic amine complex such as poly(vinylcarbazole), N,N'-diphenyl-N,N'-bis (3-methylphenyl)-1,1'-biphenyl -4,4'-
10 diamine (TPD), polyaniline etc.

Optionally dyes such as fluorescent laser dyes, luminescent laser dyes can be included to modify the colour spectrum of the emitted light and also enhance the photoluminescent and electroluminescent efficiencies.

15

In one embodiment the $\text{Tb}(\text{TMHD})_3\text{OPNP}$ is mixed with a polymeric material such as a polyolefin e.g. polyethylene, polypropylene etc. and preferably polystyrene. Preferred amounts of active material in the mixture is from 95% to 5% by weight of active material and more preferably 25 to 20% by weight.

20

The hole transporting material can optionally be mixed with the $\text{Tb}(\text{TMHD})_3\text{OPNP}$ in a ratio of 5-95% of the $\text{Tb}(\text{TMHD})_3\text{OPNP}$ to 95 to 5% of the hole transporting compound.

25

In another embodiment of the invention there is a layer of an electron transporting material between the cathode and the $\text{Tb}(\text{TMHD})_3\text{OPNP}$ layer, this electron transporting layer is preferably a metal complex such as a metal quinolate e.g. an aluminium quinolate which will transport electrons when an electric current is passed through it. Alternatively the electron transporting material can be mixed with the

30

$\text{Tb}(\text{TMHD})_3\text{OPNP}$ and co-deposited with it.

In a preferred structure there is a substrate formed of a transparent conductive material which is the anode on which is successively deposited a hole transportation layer, the Tb(TMHD)₃OPNP layer and an electron transporting layer which is connected to the cathode. The cathode can be any low work function metal e.g. aluminium, calcium, lithium, silver/magnesium alloys etc.

At lower voltages e.g. below 10 volts the emitted light principally is yellowish green and corresponds to the typical colour of emitted light of terbium III complexes and, as the voltage is increased, the emitted light becomes nearer a white colour and at a voltage of over 12 volts it appears white to the eye.

Possibly the wavelength of the emitted light changes due to an increase in the strength of the radiation due to the ligands which emit light of a shorter wavelength with increase of voltage so the overall effect is a combination of the contributions from the various moieties in the complex and its interaction with the hole transporting layer.

It is very surprising that this effect can give rise to white light.

The invention is described in the Examples.

Example 1

(i) Thin film Tb(TMHD)₃OPNP

50mg of Tb(TMHD)₃ (7×10^{-5} moles) and 33.68mg of OPNP (7.05×10^{-5} moles) were ground together in a mortar and pestle and a 3mg portion was placed on a molybdenum boat in an Edwards(E306) vacuum coater. Spectrosil slides (UV grade) were secured on a sample holder. The vacuum coater was evacuated to 10^{-7}

- 6 -

torr and the sample was heated using an electrical heater at 10 to 90 A and 10V for up to twenty seconds to give a film of Tb(TMHD)_3 OPNP.

(ii) Fabrication of an Electroluminescent Devices Based on Tb(TMHD)_3 OPNP

5

A 3mg mixture of Tb(TMHD)_3 OPNP prepared as in (i) was evaporated onto a patterned ITO electrode to give a film of 50 nm thickness. The patterned ITO had been previously coated with 20 nm of a hole transporting layer formed of TPD. Aluminium quinolate (Alq_3) was then evaporated on top of the layer to give a film of 20nm thickness to act as an electron-transporting layer. An aluminium top contact (900 nm) was made to form the structure of fig. 1 of the drawings.

10

A measured voltage was passed across the device and the wavelength of the emitted light measured. The results are shown in figs. 2a, 2b and 2c. As can be seen, with increasing voltage the intensity of the light at wavelengths other than the peak due to Tb increases and this causes the emitted light to become white in the spectra of 2c and the colour coordinates of the light emitted in fig. 2c in the colour chart CIE I931 was x: 0.22, y: 0.25, which is white light.

15

Claims

1. An electroluminescent device in which the electroluminescent compound is $\text{Tb}(\text{TMHD})_3\text{OPNP}$ where TMHD is 2,2,6,6-tetramethyl-3,5-heptanedionato and
5 OPNP is diphenylphosphonimide triphenyl phosphorane.
2. An electroluminescent device as claimed in claim 1 which comprises a conductive substrate which acts as the anode, a layer of $\text{Tb}(\text{TMHD})_3\text{OPNP}$ and a metal contact connected to the electroluminescent layer which acts as the cathode.
10
3. An electroluminescent device as claimed in claim 2 in which the $\text{Tb}(\text{TMHD})_3\text{OPNP}$ is deposited on the substrate directly by evaporation from a solution in an organic solvent.
- 15 4. An electroluminescent device as claimed in claim 2 in which the $\text{Tb}(\text{TMHD})_3\text{OPNP}$ is deposited on the substrate by spin coating or by vacuum deposition from the solid state.
- 20 5. An electroluminescent device as claimed in any one of claims 1 to 4 in which a $\text{Tb}(\text{TMHD})_3\text{OPNP}$ film is made by mixing $\text{Tb}(\text{TMHD})_3$ and OPNP, heating the mixture formed under a vacuum so that the mixture is vaporised and condensing the vapour on to a substrate to form a film or layer of the $\text{Tb}(\text{TMHD})_3\text{OPNP}$ on the substrate.
- 25 6. An electroluminescent device as claimed in any one of claims 1 to 4 in which a $\text{Tb}(\text{TMHD})_3\text{OPNP}$ film is made the consequential deposition of $\text{Tb}(\text{TMHD})_3$ and the OPNP on to the substrate.

- 8 -

7. An electroluminescent device as claimed in any one of claims 1 to 6 in which there is a hole transporting layer deposited on the transparent substrate and the $\text{Tb}(\text{TMHD})_3\text{OPNP}$ is deposited on the hole transporting layer.
- 5 8. An electroluminescent device as claimed in claim 7 in which the hole transporting layer is made of a film of poly(vinylcarbazole), $\text{N,N}'$ -diphenyl- $\text{N,N}'$ -bis (3-methylphenyl)-1,1'-biphenyl -4,4'-diamine (TPD) or polyaniline.
9. An electroluminescent device as claimed in claim 7 or 8 in which the hole
10 transporting material is be mixed with the $\text{Tb}(\text{TMHD})_3\text{OPNP}$ in a ratio of 5-95% by weight of the $\text{Tb}(\text{TMHD})_3\text{OPNP}$ to 95 to 5% by weight of the hole transporting compound.
10. An electroluminescent device as claimed in any one of claims 1 to 9 in which a
15 dye is included to modify the colour spectrum of the emitted light and enhance the photoluminescent and electroluminescent efficiencies.
11. An electroluminescent device as claimed in any one of claims 1 to 10 in which the $\text{Tb}(\text{TMHD})_3\text{OPNP}$ is mixed with a polyolefin in an amount of $\text{Tb}(\text{TMHD})_3\text{OPNP}$
20 in the mixture being from 95% to 5% by weight of the mixture.
12. An electroluminescent device as claimed in any one of claims 1 to 11 in which there is a layer of an electron transporting material between the cathode and the $\text{Tb}(\text{TMHD})_3\text{OPNP}$ layer,
25
13. An electroluminescent device as claimed in any one of claims 1 to 11 in which there is an electron transporting material mixed with the $\text{Tb}(\text{TMHD})_3\text{OPNP}$ and co-deposited with it.

- 9 -

14. An electroluminescent device as claimed in claim 12 in which the electron transporting material is aluminium quinolate.
15. An electroluminescent device as claimed in claim 12 which comprises a substrate
5 formed of a transparent conductive material which is the anode on which is successively deposited a hole transportation layer, the Tb(TMHD)₃OPNP layer and an electron transporting layer which is connected to a metal cathode.
16. A method for emitting white light from an electroluminescent device in which the
10 device is as claimed in any one of the preceding claims and the voltage applied through the device is over 12 volts.

1/3

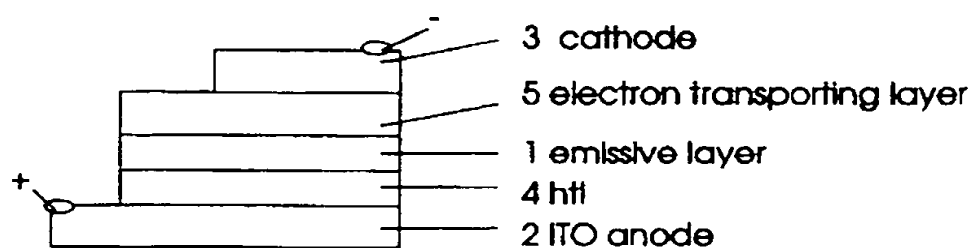


Fig. 1

2/3

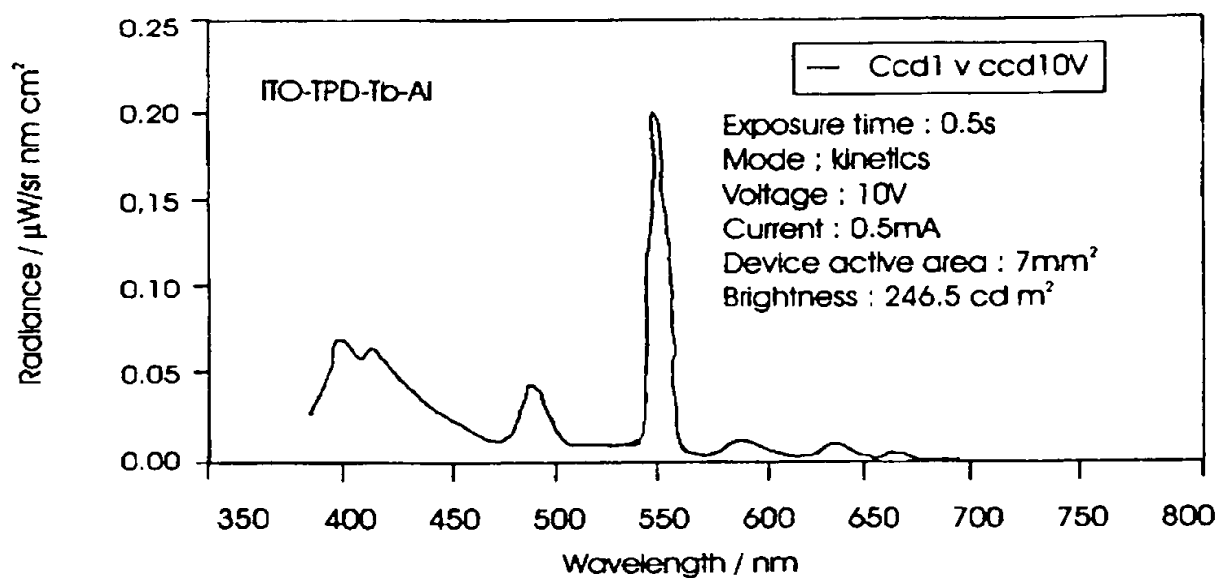


Fig. 2a

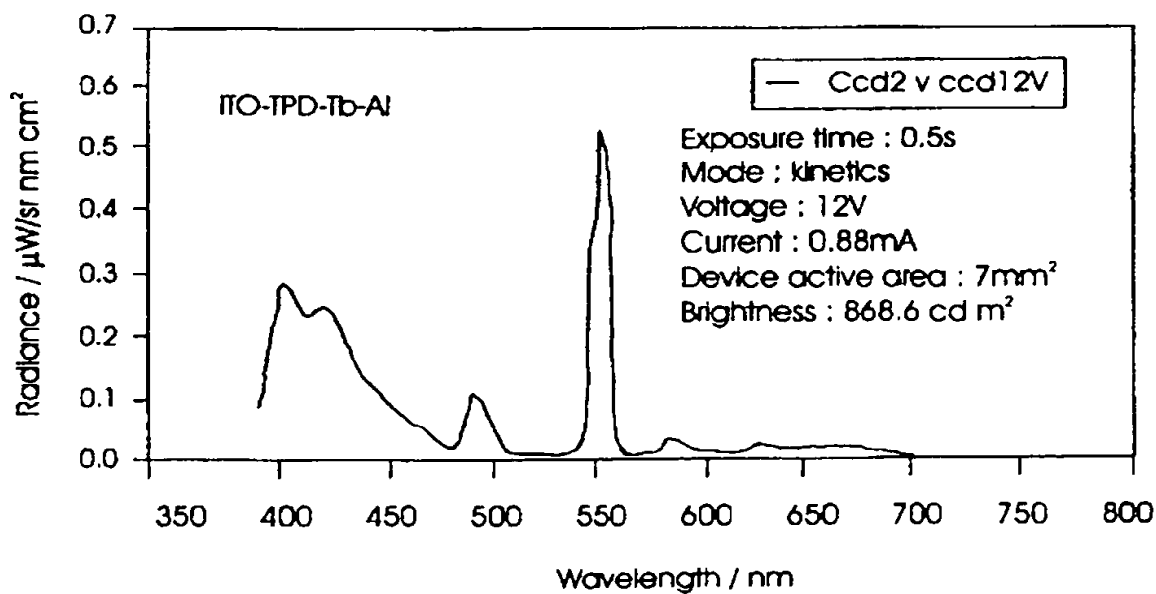


Fig. 2b

3/3

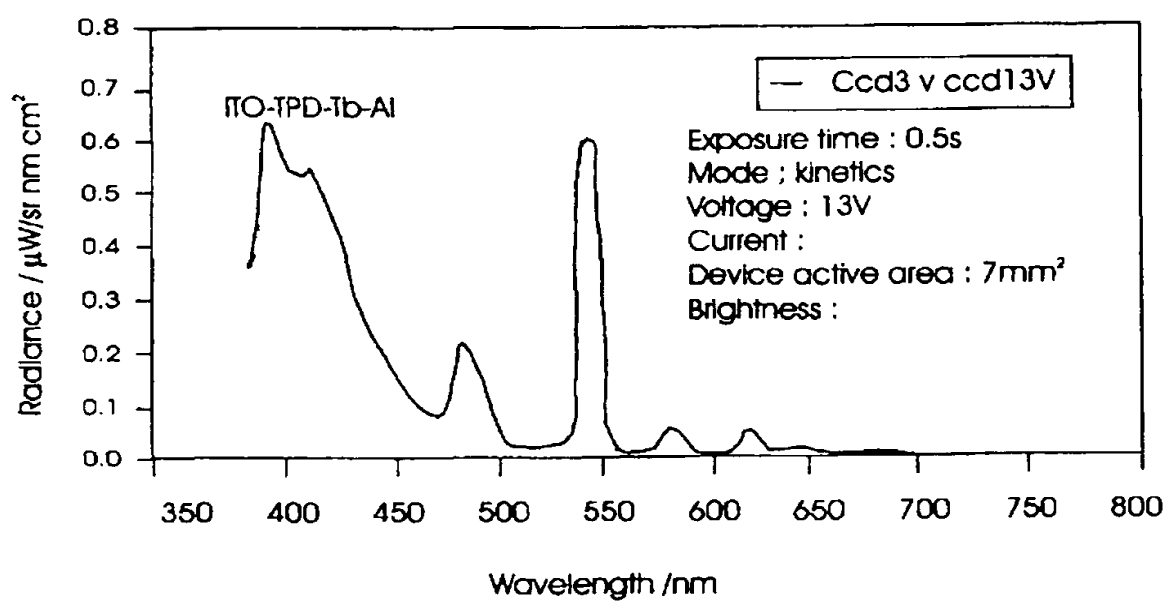


Fig. 2c